



Substitute Form PTO 1449

INFORMATION DISCLOSURE STATEMENT	Application No.	09/802,169
	Filing Date	March 8, 2001
	Inventor	Christopher Keith
	Group Art Unit	2165
	Examiner	TBA
Sheet 1 of 2		Atty. Docket No. 0505-4012

U.S. PATENT DOCUMENTS						
Examiner Initials	Cite No.	U.S. Patent Document		Name of Patentee	Publication Date MM-DD-YYYY	Relevant text or Figs.
		Number	Kind Code			
CG	AA	6134535		Belzberg	10-17-2000	
CG	AB	6105005		Fuhrer	08-15-2000	
CG	AC	6092056		Tull, Jr. et al.	07-18-2000	
CG	AD	6035287		Stallaert et al.	03-07-2000	
CG	AE	6026383		Ausubel	02-15-2000	
CG	AF	6021398		Ausubel	02-01-2000	
CG	AG	6018722		Ray et al.	01-25-2000	
CG	AH	6016483		Rickard	01-18-2000	
CG	AI	6012046		Lupien	01-04-2000	
CG	AJ	5987435		Weiss	11-16-1999	
CG	AK	5978779		Stein et al.	11-02-1999	
CG	AL	5963923		Garber	10-05-1999	
CG	AM	5950177		Lupien et al.	09-07-1999	
CG	AN	5950176		Keiser	09-07-1999	
CG	AO	5946667		Tull, Jr.	08-31-1999	
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CG	AQ	5941996		Smith	08-24-1999	
CG	AR	5315634		Tanaka et al.	05-24-1994	
CG	AS	5924082		Silverman	07-13-1999	
CG	AT	5826244		Huberman	10-20-1998	
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Examiner Initials	Cite No.	Foreign Patent Documents			Name of Patentee or Assignee	Publication Date MM-DD-YYYY	Relevant text or Figs.	Trsl. (v)
		Office	Number	Kind Code				
	BA	WO	00/63814	A1	Lava Trading	10-26-2000		
	BB	WO	01/02930	A2	Globenet Capital Corporation	01-11-2001		

Examiner Signature	C GRAHAM	Date Considered	4/1/2008
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OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS			
Examiner Initials	Cite No.	AUTHOR, title, magazine, date, pages, publisher, city where published	Trsl. (✓)
CG	CA	"AuctionBot", 9 pages from http://auction.eecs.umich.edu , printed March 30, 2000	
CG	CB	MAES et al., "Agents that Buy and Sell: Transforming Commerce as we Know It", Comm. ACM, March 1999, vol. 42, no. 3	
CG	CC	WELLMAN et al., "Real Time Issues for Internet Auctions", First IEEE Workshop on Dependable and Real-Time E-Commerce Systems (DARE-98), Denver, CO, June 1998	
CG	CD	WURMAN et al., "Flexible Double Auctions for Electronic Commerce: Theory and Implementation", July 13, 1998, to appear in "Decision Support Systems"	
CG	CE	MERTZ et al., "The Handbook of Investment Technology," Chapters 7, 8, and 15	
CG	CF	KEYES, "Handbook of Technology Financial Services, Chapters 5, 36, 37, 40	
CG	CG	TEWELES et al., "The Stock Market," Chapters 8 and 23	
CG	CH	DALTON, "How the Stock Market Works," Chapters 5 and 7	
CG	CI	"PeCo-Mediator: finding partners via personal connections," IEEE Int. Conf. on Systems, Man and Cybernetics 1996, vol. 1:802-7 Abstract	
CG	CJ	PROPSON, "The Secret Matchmaker," BUSINESS2.COM, March 6, 2001, pp 90-93	
CG	CK	ARVEDLUND, "An Arranged Exchange," BUSINESS2.COM, February 6, 2001, pp 90-91	
CG	CL	CHANG, "New Age Bidding: Against Computers, Humans Usually Lose," New York Times, January 2, 2001, pages 1-3	
CG	CM	RIJNEN, "Trading Places," Alleycat News, pages 61-73, November 2000	
CG	CN	e-mail from lab_rat@listserv.redherring.com, dated February 8, 2001, Subject: LAB RAT: Smart technology trounces traders, pages 1-5	

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Not for submission under 37 CFR 1.99)	Application Number		09802169
	Filing Date		2001-03-08
	First Named Inventor	Keith	
	Art Unit	3692	
	Examiner Name	C.B. Graham	
	Attorney Docket Number	IVEN125473	

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Examiner Initial*	Cite No	Patent Number	Kind Code ¹	Issue Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines where Relevant Passages or Relevant Figures Appear
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CG	2	4346442	A	1982-08-24	Musmanno	
CG	3	4376978	A	1983-03-15	Musmanno	
CG	4	4456957	A	1984-06-26	Schieltz	
CG	5	4823265	A	1989-04-18	Nelson	
CG	6	5077665	A	1991-12-31	Silverman	
CG	7	5101353	A	1992-03-31	Lupien	
CG	8	5148365	A	1992-09-15	Dembo	

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CG	9	5253165	A	1993-10-12	Leiseca	
CG	10	5297031	A	1994-03-22	Guttermann	
CG	11	5412804	A	1995-05-02	Krishna	
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	20	5983200	A	1999-11-09	Slotznick	
	21	6014643	A	2000-01-11	Minton	
	22	6029146	A	2000-02-22	Hawkins	
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	25	6131087	A	2000-10-10	Luke	
	26	6236980	B1	2001-05-22	Reese	
	27	6278982	B1	2001-08-21	Korhammer	
	28	6285989	B1	2001-09-04	Shoham	
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	30	6317728	B1	2001-11-13	Kane	



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	31	6321212	B1	2001-11-20	Lange	
	32	6343278	B1	2002-01-29	Jain	
	33	6359633	B1	2002-03-19	Balasubramaniam	
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	40	6601044	B1	2003-07-29	Wallman	
	41	6625583	B1	2003-09-23	Silverman	

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	42	6792399	B1	2004-09-14	Phillips	
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	1	Board of Trade of the City of Chicago, Commodity Trading Manual, 1998, pp. 178-179, 387.	<input type="checkbox"/>

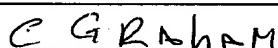
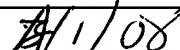
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	2	Hull, J.C., Introduction to Futures & Options Markets, 2d ed., Prentice Hall, Englewood Cliffs, N.J., 1995, pp. 4-6, 11, 26, 33-34.	<input type="checkbox"/>
	3	Livingston, M., Bonds and Bond Derivatives, Blackwell Publishers Inc., Malden, Mass., 1999, pp. 38-41.	<input type="checkbox"/>
	4	"More Companies Buying Back Stock," The Salt Lake Tribune, April 9, 2000, < http://proquest.umi.com/pqdweb?index=6&did=52501230&SrchMode=1&sid=21&Fmt=3... >[retrieved November 3, 2005].	<input type="checkbox"/>
	5	The Options Institute, "Options: Essential Concepts & Trading Concepts," 3d ed., McGraw-Hill, New York, 1999, p. 420.	<input type="checkbox"/>
	6	"Streamer Free Real-Time Stock Quote Service Registers 12,000 Users," PR Newswire, November 3, 1999, < http://www.findarticles.com/m4PRN/1999_Nov_3/57153236/p1/article.jhtml > [retrieved April 5, 2004].	<input type="checkbox"/>

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	2	6012043	A	2000-01-04	Albright			
	3	6377940	B2	2002-04-23	Tilfors			
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	1	20060195386	A1	2006-08-31	Glodjo			
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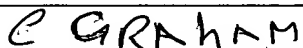
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	1	LOWENSTEIN, R., "Why Stock Options Can Be Dynamite for a Portfolio," Wall Street Journal (Europe), November 7, 1997, p. 13.	<input type="checkbox"/>
	2	McGUIRE, C., "FIXML Set for Launch," Wall Street & Technology 17(3):50, March 1999.	<input type="checkbox"/>
	3	TSU, M.E., "Tutorial on Using Options in Active Strategies," Derivatives Quarterly 6(1):39-48, Fall 1999.	<input type="checkbox"/>

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Attorney Docket Number	IVEN125473

CERTIFICATION STATEMENT

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☐ See attached certification statement.

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Signature	/Kevan L. Morgan/	Date (YYYY-MM-DD)	2007-06-11
Name/Print	Kevan L. Morgan	Registration Number	42015

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	1	6021397	A	2000-02-01	Jones			
	2	6594643	B1	2003-07-15	Freeny, Jr.			
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	1	20010042785	A1	2001-11-22	Walker			
	2	20020107781	A1	2002-08-08	Neyman			
	3	20040117302	A1	2004-06-17	Weichert			
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	1	TWITCHELL, E.E., "Barron's Online: Extreme Markets," Barron's 80(15):36, April 20, 2000.	<input type="checkbox"/>

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Name/Print	Kevan L. Morgan	Registration Number	42,015

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